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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Application of :  
Takashi NIWA et al. :  
Serial No. 09/872,800 : Group Art Unit: 2651  
Filed: June 1, 2001 :  
For: METHOD FOR FORMING APER- :  
TURE, NEAR-FIELD OPTICAL :  
HEAD AND METHOD FOR :  
FABRICATING THE SAME AND :  
INFORMATION RECORDING/ :  
READING APPARATUS : Docket No. S004-4309  
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COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

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APR 23 2003

INFORMATION DISCLOSURE STATEMENT  
UNDER PATENT RULES 97 AND 98

Technology Center 2600

S I R:

Applicants submit this information disclosure statement pursuant to 37 CFR §§1.97 and 1.98.

The present application was filed more than three months prior to the filing of this statement. However, as of the date of filing of this statement, neither a final action under 37 CFR §1.113 nor a notice of allowance under 37 CFR §1.311 has been mailed in this application. Accordingly, this information disclosure statement is being filed under 37 CFR §1.97(c) and is accompanied by the following 37 CFR §1.97(e) certification:

**Rule 97(e) Certification**

Applicants' undersigned attorney, pursuant to 37 CFR §1.97(e), hereby certifies that each item of information disclosed herein was cited in a Search Report of a foreign Patent Office in applicants' counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

**Information Disclosure Statement**


Pursuant to 37 CFR §1.98, a list of patents, publications or other information submitted for consideration by the PTO is provided on annexed Form PTO-1449. A legible copy of each item of information listed on the Form is submitted herewith. Also submitted is a copy of the Search Report which cited each item of information.

As to each item of information, if any, which is not in the English language, a concise explanation of the relevance thereof pursuant to 37 CFR §1.98(a)(3) is given in the Search Report which cited the information.

Consideration of this information disclosure  
statement is respectfully requested.

Respectfully submitted,

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MAILING CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as first-class mail in an envelope addressed to: COMMISSIONER OF PATENTS & TRADEMARKS, Washington, D.C. 20231, on the date indicated below.

Michael Ruas

Name

  
Signature

April 17, 2003

Date